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PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 2000-0109

First Inventor Alien Louis GORIN, et al

Title METHOD AND SYSTEM FOR PREDICTING UNDERSTANDING
ERRORS IN AUTOMATED DIALOG SYSTEMS

Express Mail Label No

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 25]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages 6]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 18 completed)
 - c. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☒ Request and Certification under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76.

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

☐ Cross Reference to Related Application included in Preliminary Amendment Attached Note A cross reference to related application(s) must be filed with the USPTO before four months from the filing date of this continuing application

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 23838 or ☐ Correspondence address below
(Insert Customer No. or Attach bar code label here)

Name

Address

City

Country

Name (Print/Type)

Ronald E. Prass, Jr.

Registration No. (Attorney/Agent)

42,089

Signature

Ronald E. Prass, Jr.

Date

Jan. 22, 2001

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision

Complete if Known

Application Number	Unassigned
Filing Date	Herewith
First Named Inventor	Allen Louis GORIN, et al
Examiner Name	Unassigned
Group / Art Unit	Unassigned
Attorney Docket No	2000-0109

TOTAL AMOUNT OF PAYMENT (\$) 782.00

09/765444
01/22/01

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)				
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to		3. ADDITIONAL FEES				
Deposit Account Number	11-0600	Large Entity Fee Code	Small Entity Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
Deposit Account Name	Kenyon & Kenyon	105	130	205	65	Surcharge - late filing fee or oath
<input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17		127	50	227	25	Surcharge - late provisional filing fee or cover sheet
<input type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27		139	130	139	130	Non-English specification
2. <input type="checkbox"/> Payment Enclosed		147	2,520	147	2,520	For filing a request for reexamination
<input type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other		112	920*	112	920*	Requesting publication of SIR prior to Examiner action
FEE CALCULATION		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
1. BASIC FILING FEE		115	110	215	55	Extension for reply within first month
Large Entity Fee Code	Small Entity Fee Code	116	380	216	190	Extension for reply within second month
101	690	117	870	217	435	Extension for reply within third month
106	310	118	1,360	218	680	Extension for reply within fourth month
107	480	128	1,850	228	925	Extension for reply within fifth month
108	690	119	300	219	150	Notice of Appeal
114	150	120	300	220	150	Filing a brief in support of an appeal
SUBTOTAL (1) (\$) 710		121	260	221	130	Request for oral hearing
2. EXTRA CLAIM FEES		138	1,510	138	1,510	Petition to institute a public use proceeding
Total Claims	28 -20** = 8	140	110	240	55	Petition to revive - unavoidable
Independent Claims	3 -3** = 0	141	1,210	241	605	Petition to revive - unintentional
Multiple Dependent		142	1,210	242	605	Utility issue fee (or reissue)
**or number previously paid, if greater; For Reissues, see below		143	430	243	215	Design issue fee
Large Entity Fee Code	Small Entity Fee Code	144	580	244	290	Plant issue fee
103	18	122	130	122	130	Petitions to the Commissioner
102	78	123	50	123	50	Petitions related to provisional applications
104	260	126	240	126	240	Submission of Information Disclosure Stmt
109	78	581	40	581	40	Recording each patent assignment per property (times number of properties)
110	18	146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))
SUBTOTAL (2) (\$) 72		149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))
		179	690	279	345	Request for Continued Examination (RCE)
		169	900	169	900	Request for expedited examination of a design application
		Other fee (specify)				
		*Reduced by Basic Filing Fee Paid		SUBTOTAL (3) (\$) 0		

SUBMITTED BY

Name (Print/Type)

Ronald E. Prass, Jr.

Registration No. Attorney/Agent

42,089

Telephone

202-220-4200

Signature

[Signature]

Date

January 22, 2001

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REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)	First Named Inventor	GORIN, Allen Louis, et al.
	Title	METHOD AND SYSTEM FOR PREDICTING UNDERSTANDING ERRORS IN AUTOMATED DIALOG SYSTEM
	Atty Docket Number	2685/5613 - 2000-0109

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

22 JAN 01

Date



Signature

Ronald E. Prass, Jr. - 42,089

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Washington, DC 20231